

# Maine State Innovation Model Risk and Issue Mitigation Plan and Process

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## **Section I: Maine SIM Risk Mitigation Process**

The Maine SIM Risk Mitigation process was developed with two key objectives in mind:

- 1) Use the Risk and Issue process as a centerpiece of SIM governance engagement
- 2) Ensure that it serves as an effective means of focusing all healthcare stakeholders on the right issues that threaten effective reform as defined under the SIM program

### **Maine SIM Risk and Issue Log**

The Risk and Issue log, which can be found in appendix F, is a working document that is maintained and monitored by the SIM Program team. The official working copy is stored on a shared drive, and access to it is only available to key State employees and defined partner representatives.

The log has several key columns that need to be completed for each identified risk or issue:

1. **Item Number:** The assigned Risk/Issue identification number. Each risk number increases sequentially in the order received. The risk number is assigned by the SIM Program team.
2. **Description:** The brief summative description of the risk or issue agreed upon by the risk owner and risk group members.
3. **Impact SIM Objectives:** This section describes which SIM objectives are potentially impacted (in the case of a risk) or impacted (in the case of an issue) by the identified risk. This association is critical to determining the weight of the risk, and determining the urgency with which it should be dealt. A risk or issue can impact one to many SIM objectives. The SIM objectives can be found in attachment B. In order for a risk to move forward in the risk mitigation process a SIM risk must be associated with a specific SIM objective. The impacted SIM objectives along with the accountability targets will contribute to the risk score.
4. **If/Then columns:** These columns are intended to obtain more information around the impact of the risk or issue occurring, using a simple if/then logic statement. If the risk is unmitigated, then the following may occur.
5. **Accountability Target Impacts:** There are Accountability Targets (ATs) associated with every SIM objective (attachment B) As such, the objectives identified in #3 in the risk log will have impacts on the ability to achieve those associated ATs. The degree to which ATs may be impacted are further described in the Risk Mitigation plan as it is developed for high priority risks and issues. In order for a risk to be scored the impacted ATs must be listed.
6. **Item Owner:** This is the ultimate individual responsible for the appropriate articulation of the risk or issue, and then for the subsequent development of and execution of the risk or issue mitigation plan. The item owner is accountable for ensuring the risk mitigation plan is completed. The risk owner is integral to completing the data for the risk log. This person is responsible for actively guiding the risk through the risk mitigation process and submitting the elements of the risk log to the SIM project team. An item

owner must be identified for the risk process to continue and be scored. If an item owner is not identified the risk will be labeled pending or closed.

7. Status: Identified whether the risk or issue is open, in progress, resolved, pending, or closed.
8. Creator: The original identifier of the risk or issue. Can be an individual or committee. The creator is responsible for identifying an appropriate risk owner.
9. Date Created: The date that the risk/issue was initially entered into the log
10. Weighted Priority: Weighted priority appropriately weights the risk based on the objectives that are potentially impacted by the risks. If higher priority objectives are impacted by the occurrence of the risk, then the risk would receive a higher Priority rating than if the risk may impact a less impactful objective. Refer to the Objective weight assignments (appendix c) for determination. This is on a 1-5 scale, with 5 being the highest. The SIM Objectives and accountability targets must be completed in order for a risk to be weighted.
11. Probability: This is the probability that a risk will occur, on a 1 – 3 scale with 3 being the highest.
12. Impact: This is the impact that a risk will have on an objective in the event that it becomes an issue. Again, a 1-3 scale.
13. Priority Calculation: This is the multiplicative score of a risk, multiplying the weighted priority with the probability with the impact. The Priority calculation score will determine which risk and issues will have a risk mitigation plan developed.
14. Details: Additional details to provide more information to the log reviewers.
15. Above/Below Waterline: Indicates if a risk or issue has been determined a priority for plan development. If a plan is deemed above the water line a risk plan will be developed by a group led by the risk item owner. The waterline will require iterative adjustment based on availability and capacity of resources.
16. Plan Developed: Yes or No – Indicates whether a plan has been developed for the risk or issue. Only risks that are above the waterline are expected to have a plan developed. The risk plan will be developed by a group led by the risk item owner.

#### Steps of a SIM Risk:

The steps below will be taken in sequential order by the risk owner and ad hoc group when opening a risk. Please communicate with the SIM Team at the start of risk creation and at each step in the process.

Step 1: Contact the SIM team with a written description of the risk and a risk owner. The risk will then be entered into the “Risk Log” and assigned a number.

Step 2: The risk owner gathers an ad hoc group to identify the “if/then” statements, impacted “SIM objectives” and “accountability targets”. The risk process stops here if SIM objectives cannot be directly linked to the proposed risk.

The next steps of creating the risk score can only be developed after the risk owner and ad hoc group compose the “if/then” statements, impacted “SIM objectives” and “accountability targets”

Step 3: The risk owner and ad hoc group uses the impacted SIM Objectives and associated accountability targets to calculate the risk score. The ad hoc group should be comprised of membership representation from all major stakeholders impacted by the risk.

Step 4: The risk score and the resources available to SIM are examined to determine if the risk is above/below the water line. If the risk is below the water line then a risk plan is not completed at this time. The risk will be monitored on a monthly basis to assess if the risk will be moved above the water line or another action.

Step 5: A risk plan is then developed by the risk owner and ad hoc group if the risk is above the water line.

Step 6: The risk plan is presented to the subcommittee and/or Steering committee for discussion, and is required for escalation to the steering committee if recommendations include that SIM initiatives are to be formed or funding is necessary.

Step 7: The steering committee will determine whether or not the recommendation will be endorsed, adjusted, or declined. Step 8: If funding is requested to mitigate the risk the Steering Committee will escalate the recommendations to the SIM Maine Leadership Team, which has the authority to distribute and redistribute SIM funds.

The SIM Program team monitors and continuously assists with proposed risks and risks in progress.

### SIM Governance Involvement

SIM’s Governance model is central to the SIM Operational plan. SIM Governance includes the Maine Leadership Team, Steering Committee and four subcommittees. Managed and facilitated by the SIM program team, the SIM risk and issue mitigation process is the foundation to effective engagement of the SIM governance members, and in ensuring that the Maine model is leveraging the significant expertise that exists with its members. There are four main components of the SIM governance involvement in the Risk/Issue mitigation process

1. Risk/Issue identification

A risk can be identified in three ways: via subcommittees, directly through partners in the course of SIM work and through SIM program review of meeting notes and reports. All SIM governance groups are encouraged to include a standing agenda item titled: risks/issues. All SIM governance groups and partners are encouraged to identify risks

and issues to SIM objectives and to log them on the risk and issue log. Since the SIM governance structure includes stakeholders from all aspects of healthcare (providers, payers, consumers, purchasers, and patients) then practical risks to reform success can be identified regularly through this structure, from the ground level. All partners (MHMC, HIN, QC) are encouraged to include a standing agenda item in all subcommittee meetings titled: risks/issues. Risk identification is highly encouraged by all governance members. The risk articulation process is designed to filter out risk that are not related to SIM and ensure governance focus in the risk mitigation process for risk that are related to SIM objectives.

## 2. Risk/Issue articulation

A risk can be articulated in two ways: through subcommittees and directly through partners in the course of doing work.

Once a risk or issue is identified, it must be appropriately articulated in the risk log so that there can be widespread understanding of the item. This articulation includes the identification of impacted SIM objectives, accountability targets and calculation of the priority score, which will determine whether the risk moves to risk plan development. The person who identifies the risk will work with the identified risk owner and ad hoc group, as needed, to complete the risk log. The subcommittee chair or partner project manager will facilitate the process of risk articulation and documentation.

The risk owner or identifier will contact the SIM project team once a risk is identified with the information needed for the risk log. (Attachment E.) The SIM program team will keep the SIM Risk Log current by adding new risks and closing out completed risks, developing a monthly risk report, and following up with risk owners on outstanding items.

## 3. Risk/Issue Plan Development

Plans to address each prioritized risk/issue will be developed by the risk owner with assistance from governance members (ad hoc team) and reviewed broadly in the governance process. The plans will include plans to address, timelines of the plans, and greater description of the impacts if the risk are to occur or if the issues aren't resolved. The document entitled "SIM Risk- Issue Mitigation Plan Template" (Attachment D) will be used to document the plan. Risk plans will include prioritization of suggested mitigation options and will be presented to the Steering Committee. The Steering Committee may request additional information in mitigation plans to decide if funding allocation or re-allocation of SIM funds will be recommended to the Maine Leadership Team. The Maine Leadership Team is responsible for SIM fund allocation and/or reallocation to realize suggested risk mitigation options.

## 4. Risk/Issue Plan monitoring

The plans will be monitored by the SIM Program office, and status of the risk planning will be included in the appropriate reporting to SIM governance so that appropriate tracking and ongoing engagement is achieved and appropriate adjustments to the plans

are made. A SIM Risk Mitigation monthly report summarizes the previous thirty days of risk related activity. The risk mitigation monthly report will be publically available and presented to the SIM governance teams as requested.

### SIM Objectives and Weighting

The SIM objectives and their associated weight is central to the SIM Risk and Issue mitigation process, and the SIM Strategic Framework diagram is included in Appendix A. This document is the SIM Strategic Framework structure, which aligns all SIM objectives to the six SIM Strategic pillars. This document will change over time as SIM objectives are added, changed, or, in rare cases, aborted. The SIM weighting criteria are also included in Appendix C, which describes how to assign SIM objectives the appropriate weighting. The weighting is an important factor as to which SIM risks and issues are prioritized through SIM governance, creating focused alignment through the governance structure.

### Risk Plan determination

The location of the 'waterline' which determines which risks or issues receive focused plan development through the SIM governance process is dependent on several variables, including but not limited to resource constraints, average priority calculations of full risk set, direction set through SIM governance, and number of open SIM risks or issues. As risk and issues are added to the log, recommendations for which risks and issues are above the waterline will be provided to the SIM governance structure from the SIM Program team.

## Appendices

### **A. SIM Strategic Framework:**



SIM Objectives  
Strategic Framework <sup>4</sup>

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### **B. SIM Program Plan:** See Single Source of Truth (SST),



Maine SIM SSTv10  
052114.xlsx

### **C. SIM Objective Weighting Criteria**



Weighting Criteria for  
Maine SIM Objectives.

## Weighting Criteria for Maine SIM Objectives

Definitions:

Strategic Pillar Objective		The Strategic level objective that the identified SIM objective aligns to, i.e. – the objective of ‘Strengthening Primary Care’
SIM Objective		The SIM objectives that are aligned to the appropriate SIM Strategic Pillar, i.e., MaineCare Objective 1: Implement MaineCare Accountable Communities Shared Savings ACO Initiative
Objective Weight Assignment	Objective Category	Guiding Criteria
5	Foundational Objective	1. The objective is foundational to SIM Grant’s ability to achieve the Strategic level objectives represented by the Strategic Pillar,
4	Critical Objective	1. A SIM objective that is critical to the Strategic level objective, and failure to achieve this objective would hamper the effectiveness of any foundational objective, aligned to the Strategic Pillar, or 2. The objective is integrated with other objectives within the Strategic Pillar, meaning failure to achieve it would impact other objectives and challenge significantly the ability to achieve the Strategic Pillar objective
3	Supportive Objective	1. The objective provides substantial support to a foundational or critical objective aligned in the Strategic Pillar, or 2. Failure to achieve a supportive objective would have a moderate impact on the ability to achieve the strategic objective
2	Contributory Objective	1. The SIM objective contributes to the Strategic objectives for targeted populations 2. Limited integration exists with other SIM objectives in the Strategic Pillars
1	Limited Scope Objective	1. The objective is of limited scope or time period 2. Little or no integration exists with other objectives

### **D. SIM Issue Risk Mitigation Plan Template**



SIM Risk-Issue  
Mitigation Plan Templ

#### Maine State Innovation Model Risk and Issue Mitigation Plan

Field to Complete	Relevant Information
Risk/Issue Identified (narrative to match Risk/issue log)	



Risk ID Number (from Risk/Issue Log)	
SIM Objectives Impacted (from the SST, or outlined in SIM Strategic Framework document)	
Accountability Targets Impacted (from SST)	
Associated Strategic Pillar(s)	
Lead Contact	
Relevant Subcommittees/Workgroups	
Date completed/updated	

*Risk/Issue Mitigation Plan*

*Risk/Issue Mitigation Plan Timeline*

*Summary of Impact if Risk not mitigated or issue not resolved*

**E. Weighted Objectives**



Weighted Objectives.xlsx

**F. Maine SIM Risk and Issue Log**



Maine SIM Risk Log v82714.xlsx